

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventors: Nigel J. Renton et al.

Date Filed: October 28, 2003

For: *System and Method for Managing the Execution of  
Trades Between Market Makers*

**Mail Stop: Patent Application**  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Under 37 C.F.R. §§ 1.56, .97, and .98, Applicants respectfully request that the references listed in the attached PTO-1449 form be considered and cited in the examination of the Application. The present Application was filed after June 30, 2003. Therefore, under the July 11, 2003, waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of U.S. Patents and U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner.

Applicants believe no fees are due. Nonetheless, the Commissioner is hereby authorized to charge any fee and credit any overpayment to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
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**05073**

<b>PTO-1449</b>  <b>Information Disclosure Citation in an Application</b>	Application No. <b>Unassigned</b>		Applicant(s) <b>Nigel J. Renton et al.</b>	
	Docket Number <b>069547.0171</b>	Group Art Unit <b>Unassigned</b>	Filing Date <b>October 28, 2003</b>	

**U.S. PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	5,905,974	05-18-1999	Fraser et al.	705	37	12-13-1996
	B	6,560,580	05-06-2003	Fraser et al.	705	37	04-20-1999
	C						
	D						
	E						
	F						
	G						
	H						
	I						
	J						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	K							

**NON-PATENT DOCUMENTS**

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
	L	Gilbert et al., U.S. Patent Publication No. US2002/0169704 A1, "Systems and Methods for Controlling Traders from Manipulating Electronic Trading Markets, Filed 05-09-2002, Published 11-14-2002, 10 pages	Published 11-14-2002
	M		
	N		
	O		

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE